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**DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATIONS**

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**PATENT**

Docket No. : 36368/DRK/L359

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As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled METHOD OF SELECTIVE POST-GROWTH TUNING OF AN OPTICAL BANDGAP OF A SEMI-CONDUCTOR HETEROSTRUCTURE AND PRODUCTS PRODUCED THEREOF, the specification of which is attached hereto unless the following is checked:

\_\_\_ was filed on \_\_\_ as United States Application Number or PCT International Application Number \_\_\_ and was amended on \_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of the foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

<u>Application Number</u>	<u>Country</u>	<u>Filing Date (day/month/year)</u>	<u>Priority Claimed</u>
9804027-2	Singapore	6 November 1998	Yes

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

<u>Application Number</u>	<u>Filing Date</u>
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I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

<u>Application Number</u>	<u>Filing Date</u>	<u>Patented/Pending/Abandoned</u>
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**POWER OF ATTORNEY:** I hereby appoint the following attorneys and agents of the law firm CHRISTIE, PARKER & HALE, LLP to prosecute this application and any international application under the Patent Cooperation Treaty based on it and to transact all business in the U.S. Patent and Trademark Office connected with either of them in accordance with instructions from the assignee of the entire interest in this application;

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**DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATIONS**

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**Docket No. 36368/DRK/L359**

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or from the first or sole inventor named below in the event the application is not assigned; or from Lawrence Y.D. Ho & Associates in the event the power granted herein is for an application filed on behalf of a foreign attorney or agent.

R. W. Johnston	(17,968)	John D. Carpenter	(34,133)	Lucinda G. Auciello	(42,270)
D. Bruce Prout	(20,958)	David A. Plumley	(37,208)	Norman E. Carte	(30,455)
Hayden A. Carney	(22,653)	Wesley W. Monroe	(39,778)	Joel A. Kauth	(41,886)
Richard J. Ward, Jr.	(24,187)	John W. Eldredge	(37,613)	Patrick Y. Ikehara	(42,681)
Russell R. Palmer, Jr.	(22,994)	Gregory S. Lampert	(35,581)	Mark Garscia	(31,953)
LeRoy T. Rahn	(20,356)	Grant T. Langton	(39,739)	Gary J. Nelson	(44,257)
Richard D. Seibel	(22,134)	Constantine Marantidis	(39,759)	Raymond R. Tabandeh	(43,945)
Walter G. Maxwell	(25,355)	Daniel R. Kimbell	(34,849)	Phuong-Quan Hoang	(41,839)
William P. Christie	(29,371)	Craig A. Gelfound	(41,032)	Jun-Young E. Jeon	(43,693)
David A. Dillard	(30,831)	Syed A. Hasan	(41,057)	Kathy Mojibi	(41,409)
Thomas J. Daly	(32,213)	Kathleen M. Olster	(42,052)	Cynthia A. Bonner	(44,548)
Vincent G. Gioia	(19,959)	Daniel M. Cavanagh	(41,661)	Marc A. Karish	(44,816)
Edward R. Schwartz	(31,135)	Molly A. Holman	(40,022)		

The authority under this Power of Attorney of each person named above shall automatically terminate and be revoked upon such person ceasing to be a member or associate of or of counsel to that law firm.

**DIRECT TELEPHONE CALLS TO : Daniel R. Kimbell, 626/795-9900**

**SEND CORRESPONDENCE TO : CHRISTIE, PARKER & HALE, LLP  
P.O. Box 7068, Pasadena, CA 91109-7068**

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first joint inventor <b>Gang Li</b>	Inventor's signature	Date
Residence and Post Office Address <b>Blk 302 #04-539 Clementi Ave. 4, Singapore 120302</b>		Citizenship <b>Australia</b>

Full name of second joint inventor <b>Soo Jin Chua</b>	Inventor's signature	Date
Residence and Post Office Address <b>37 Cheng Soon Crescent, Singapore 599909</b>		Citizenship <b>Malaysia</b>

Full name of third joint inventor	Inventor's signature	Date
Residence and Post Office Address		Citizenship

---

**DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATIONS**

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**PATENT**Docket No. : 36368/DRK/L359

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My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought in the invention entitled **METHOD OF SELECTIVE POST-GROWTH TUNING OF AN OPTICAL BANDGAP OF A SEMI-CONDUCTOR HETEROSTRUCTURE AND PRODUCTS PRODUCED THEREOF**, the specification of which is attached hereto unless the following is checked:

X was filed on November 5, 1999 as United States Application Number or PCT International Application Number 09/423,401 and was amended on      (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of the foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

**Prior Foreign Application(s)**

<u>Application Number</u>	<u>Country</u>	<u>Filing Date (day/month/year)</u>	<u>Priority Claimed</u>
9804027-2	Singapore	6 November 1998	Yes

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

<u>Application Number</u>	<u>Filing Date</u>
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<u>Application Number</u>	<u>Filing Date</u>	<u>Patented/Pending/Abandoned</u>
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**POWER OF ATTORNEY:** I hereby appoint the following attorneys and agents of the law firm CHRISTIE, PARKER & HALE, LLP to prosecute this application and any international application under the Patent Cooperation Treaty based on it and to transact all business in the U.S. Patent and Trademark Office connected with either of them in accordance with instructions from the assignee of the entire interest in this application;

# DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATIONS

Docket No. 36368/DRK/L359

or from the first or sole inventor named below in the event the application is not assigned; or from Lawrence Y.D. Ho & Associates in the event the power granted herein is for an application filed on behalf of a foreign attorney or agent.


R. W. Johnston	(17,968)	John D. Carpenter	(34,133)	Lucinda G. Auciello	(42,270)
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Thomas J. Daly	(32,213)	Kathleen M. Olster	(42,052)	Cynthia A. Bonner	(44,548)
Vincent G. Gioia	(19,959)	Daniel M. Cavanagh	(41,661)	Marc A. Karish	(44,816)
Edward R. Schwartz	(31,135)	Molly A. Holman	(40,022)		

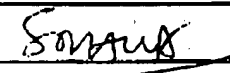
The authority under this Power of Attorney of each person named above shall automatically terminate and be revoked upon such person ceasing to be a member or associate of or of counsel to that law firm.

DIRECT TELEPHONE CALLS TO : Daniel R. Kimbell, 626/795-9900

SEND CORRESPONDENCE TO : CHRISTIE, PARKER & HALE, LLP  
P.O. Box 7068, Pasadena, CA 91109-7068

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first joint inventor Gang Li	Inventor's signature 	Date 5-1-00
Residence and Post Office Address Blk 302 #04-539 Clementi Ave. 4, Singapore 120302		Citizenship Australia

Full name of second joint inventor Soo Jin Chua	Inventor's signature 	Date 5/1/2000
Residence and Post Office Address 37 Cheng Soon Crescent, Singapore 599909		Citizenship Malaysia

Full name of third joint inventor	Inventor's signature	Date
Residence and Post Office Address		Citizenship

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Gang Li and Soo Jin Chua  
Application No. : 09/423,401  
Filed : November 5, 1999  
Title : METHOD OF SELECTIVE POST-GROWTH TUNING  
OF AN OPTICAL BANDGAP OF A  
SEMI-CONDUCTOR HETEROSTRUCTURE AND  
PRODUCTS PRODUCED THEREOF

Grp./Div. : To be assigned  
Examiner : Rafael Bacares

Docket No. : 36368/DRK/L359

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
AND REQUEST FOR REFUND

Commissioner of Patents & Trademarks  
Washington, D.C. 20231

P.O. Box 7068  
Pasadena, CA 91109-7068  
August 10, 2000

Commissioner:

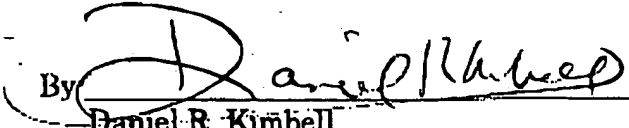
Applicant hereby submits a Small Entity Declaration verifying small entity status for the above-identified application. The application was filed on November 5, 1999 with the PCT large entity filing fee of \$982.00. The excess over a small entity filing fee for a U.S. patent application is \$526.00. Applicant requests a refund of the excess filing fee under 37 CFR § 1.28(a).

Please refund by check with this firm as payee, and indicate our docket number on the check. A copy of this request is enclosed.

Respectfully submitted,

CHRISTIE, PARKER &amp; HALE, LLP

By

  
Daniel R. Kimbell

Reg. No. 34,849

626/795-9900

DRK/eaj

Enclosure: Small Entity Declaration  
Copy of this request

**Docket No.** : 36368/DRK/L359 **CHRISTIE, PARKER & HALE, LLP**  
Post Office Box 7068  
**Applicant or Pat ntes** : Gang Li and Soo Jin Chua Pasadena, CA 91109-7068  
**Application or Patent No.** : 09/423,401 (626) 795-9900  
**Filed or Issued** : November 5, 1999  
**Entitled** : METHOD OF SELECTIVE POST-GROWTH TUNING OF AN OPTICAL  
BANDGAP OF A SEMI-CONDUCTOR HETEROSTRUCTURE AND  
PRODUCTS PRODUCED THEREOF

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**(37) CFR 1.9(f) & 1.27(c) – SMALL BUSINESS CONCERN**

I hereby declare that I am

\_\_\_\_\_ the owner of the small business concern identified below:

  X   an official of the small business concern empowered to act on behalf of the concern identified below:

**NAME OF SMALL BUSINESS CONCERN** : Institute of Materials Research and Engineering, a Singapore  
company of National University of Singapore

**ADDRESS OF SMALL BUSINESS CONCERN:** 3 Research Link, Singapore 119260

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for the purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled **METHOD OF SELECTIVE POST-GROWTH TUNING OF AN OPTICAL BANDGAP OF A SEMI-CONDUCTOR HETEROSTRUCTURE AND PRODUCTS PRODUCED THEREOF** by inventor(s) Gang Li and Soo Jin Chua described in

\_\_\_\_\_ the specification filed herewith

  X   Application No. 09/423,401 filed November 5, 1999

\_\_\_\_\_ Patent No.      issued     

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

**NAME** :  
**ADDRESS** :

---

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**(37) CFR 1.9(f) & 1.27(c) - SMALL BUSINESS CONCERN**

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**Docket N .: 36368/DRK/L359**

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☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME :

ADDRESS :

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING :

CHOU SUN CHEE

TITLE OF PERSON IF OTHER THAN OWNER :

Business Development Director

ADDRESS OF PERSON SIGNING :

3 Research Link, #06-14  
Singapore 117602

SIGNATURE



DATE

28/01/2000

DRK/eaj

EJ PAS215840.1--11/24/99 12:39 PM

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**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**(37) CFR 1.9(f) & 1.27(c) - SMALL BUSINESS CONCERN**

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**Docket N .: 36368/DRK/L359**

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☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME :

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NAME OF PERSON SIGNING :

CHOU SUN CHEE

TITLE OF PERSON IF OTHER THAN OWNER :

Business Development Director

ADDRESS OF PERSON SIGNING :

3 Research Link, #06-14  
Singapore 117602

SIGNATURE



DATE

28/01/2000

DRK/eaj

EJ PA3215840.1--11/24/99 12:39 PM